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**Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations**

# Financial performance report of the support account for peacekeeping operations for the period from 1 July 2000 to 30 June 2001

## Report of the Secretary-General*

*Summary*

The present report contains the financial performance of the support account for peacekeeping operations for the period from 1 July 2000 to 30 June 2001.

In its resolutions 54/243 B and 55/238, the General Assembly authorized an amount of $59,890,100 gross ($51,979,500 net) and a staffing establishment of 562 posts for the support account for the period from 1 July 2000 to 30 June 2001. Related expenditures totalled $62,026,300 gross ($53,373,900 net), resulting in additional requirements of $2,136,200 gross ($1,394,400 net). This resulted mainly from underbudgeted resources for post and staff assessment costs.

The action to be taken by the General Assembly in connection with the financing of the support account is set out in paragraph 11 of the report.

* The footnote required in accordance with section B, paragraph 8, of resolution 53/208, by which the General Assembly decided that if a report is submitted late to the conference services, the reasons for this should be included in a footnote to the document, was not included in the original submission.

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# I. Background

1. The budget for the support account for peacekeeping operations for the period from 1 July 2000 to 30 June 2001 was set out in the report of the Secretary-General of 17 March 2000 (A/54/800). The General Assembly, by its resolution 54/243 B of 15 June 2000, approved an amount of $50,699,900 gross ($43,237,900 net), covering requirements for 469 posts and related non-post requirements for the support account for the period from 1 July 2000 to 30 June 2001. In the same resolution, the Assembly decided to apply the unencumbered balance of $2,179,000 from the period from 1 July 1998 to 30 June 1999, inclusive of $601,000 in miscellaneous and interest income, and to prorate the balance of $48,520,900 gross ($41,058,900 net) among the individual active peacekeeping operation budgets.

2. In his subsequent report of 27 October 2000 (A/55/507 and Add.1), the Secretary-General presented the additional requirements for the implementation of the recommendations of the Panel on United Nations Peace Operations (A/55/305-S/2000/809). In section I of its resolution 55/238, of 23 December 2000, the General Assembly approved $9,190,200 gross ($8,741,600 net), covering requirements for 93 additional posts for the Department of Peacekeeping Operations and related non-post requirements for the six-month period from 1 January to 30 June 2001. This additional amount was included in the resources approved by the General Assembly for the United Nations Mission in Ethiopia and Eritrea for the 2000/01 financial period (resolution 55/237 of 23 December 2000).

# II. Scope of peacekeeping operations and Headquarters support during the period from 1 July 2000 to 30 June 2001

3. During the reporting period, the number of active peacekeeping operations remained at 15. However, the overall peacekeeping budget level increased to some $2.6 billion, compared to $1.5 billion approved for the 12-month period ending 30 June 2000. The number of deployed troops increased to 38,100 in 2001, compared to 12,700 in 1999.

4. The new missions backstopped during this period, such as the United Nations Transitional Administration in East Timor, the United Nations Interim Administration Mission in Kosovo, the United Nations Organization Mission in the Democratic Republic of the Congo, and the United Nations Mission in Sierra Leone had complex mandates with multiple programme components and a relatively large number of civilian personnel. Accordingly, the total number of civilian police monitors deployed in peacekeeping missions reached 7,957 in 2001, compared to 4,440 in 1999. Furthermore, the total number of civilian staff deployed in peacekeeping missions reached 16,600, compared to 9,300 in 1999.

5. The magnitude and volume of peacekeeping operations demanded a high level of backstopping from Headquarters to conceive, plan, deploy and support such operations in a coordinated manner.

# III. Overall financial performance for the period from 1 July 2000 to 30 June 2001

6. As indicated in table 1 below, against the apportionment of $59,890,100 gross ($51,979,500 net) for the period from 1 July 2000 to 30 June 2001, expenditures amounted to $62,026,300 gross ($53,373,900 net). The resulting additional requirements of $2,136,200 gross ($1,394,400 net) represent, in gross terms, some 4 per cent of the approved resources for the period.

7. Additional requirements totalling $3.6 million arose under posts ($2.9 million) and staff assessment costs ($0.7 million). This was mainly owing to underbudgeted requirements for common staff costs for staff in the General Service category and staff assessment costs. The additional requirements referred to above were partially offset by an unspent balance of $1.5 million under non-post resources. Chart 1 shows the financial performance by main budget category.

8. A vacancy turnover factor of 8 per cent for staff in the Professional category in the Department of Peacekeeping Operations and 6.5 per cent for all other Professional category staff, and 2.5 per cent for posts in the General Service and related categories had been applied to the 469 continuing posts approved for the period from 1 July 2000 to 30 June 2001. A delayed recruitment factor of 50 per cent had been applied to all 93 new posts approved for the period from 1 January to 30 June 2001.

9. As indicated in table 2, the actual average vacancy rate was 12.3 per cent and 2.5 per cent for the 469 continuing posts in the Professional and the General Service categories, respectively, and 54.2 per cent and 9.5 per cent for the 93 new posts in the Professional and General Service categories, respectively.

10. Annex I to the present report contains financial performance information for the reporting period by department or office. Supplementary information on significant variances is provided in annex II. Annex III contains information on authorized staff levels and actual vacancies for the period by department or office. Annex IV contains information on activities undertaken by the Training and Evaluation Service.

Table 1
**Summary of expenditures by main object of expenditure**

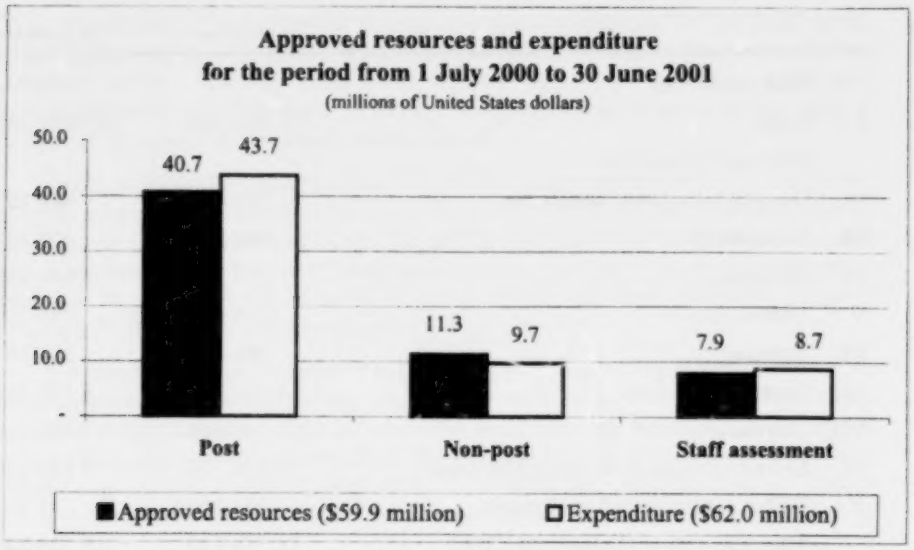
| | | (1) Apportionment[a] | (2) Expenditure | (3)=(1-2) Variance |
|---|---|---|---|---|
| | **Post resources** | | | |
| I. | Posts | 40 723 400 | 43 650 100 | (2 926 700) |
| | **Non-post resources** | | | |
| II. | General temporary assistance | 789 000 | 988 300 | (199 300) |
| III. | Consultants | 600 000 | 409 300 | 190 700 |
| IV. | Overtime | 272 000 | 473 000 | (201 000) |
| V. | Official travel | 235 000 | 226 200 | 8 800 |
| VI. | Training | 389 000 | 544 500 | (155 500) |
| VII. | Common services | 4 265 900 | 4 112 300 | 153 600 |
| VIII. | Contractual services | 1 400 000 | 1 161 300 | 238 700 |
| IX. | Electronic data-processing equipment | 2 879 300 | 1 763 100 | 1 116 200 |
| X. | Office furniture and equipment | 425 900 | 45 800 | 380 100 |
| | **Subtotal, non-post resources (II-X)** | **11 256 100** | **9 723 800** | **1 532 300** |
| XI. | Staff assessment | 7 910 600 | 8 652 400 | (741 800) |
| | **Gross requirements (I-XI)** | **59 890 100** | **62 026 300** | **(2 136 200)** |
| XII. | Income from staff assessment | (7 910 600) | (8 652 400) | 741 800 |
| | **Net requirements (I-XII)** | **51 979 500** | **53 373 900** | **(1 394 400)** |
| | **Total** | **59 890 100** | **62 026 300** | **(2 136 200)** |

[a] This information supersedes that provided in table 2 of section IV of the budget for 2001/02 (A/55/862).

Table 2
**Authorized staffing, actual incumbency and vacancy rates for authorized posts for the period from 1 July 2000 to 30 June 2001**

| | 1 July 2000 to 30 June 2001 | 1 January to 30 June 2001 (additional) |
|---|---|---|
| Authorized staff | | |
| Professional | 269 | 72 |
| General Service | 200 | 21 |
| Actual incumbency (average) | | |
| Professional | 236 | 33 |
| General Service | 195 | 19 |
| Vacancy rate (percentage) | | |
| Professional | 12.3 | 54.2 |
| General Service | 2.5 | 9.5 |

Chart 1




## IV. Action to be taken by the General Assembly at its fifty-sixth session

11. The action to be taken by the General Assembly at its fifty-sixth session is:

**(a) To approve the additional requirements of $2,136,200 gross ($1,394,400 net) for the period from 1 July 2000 to 30 June 2001;**

**(b) To apply interest income in the amount of $1,699,000, miscellaneous income in the amount of $24,000 and savings on or cancellation of prior period obligations in the amount of $413,200 ($2,136,200 in total) from the period from 1 July 2000 to 30 June 2001 to cover the additional requirements in paragraph (a) above.**

# Annex I

## Financial performance report for the period from 1 July 2000 to 30 June 2001 by department or office

*(United States dollars)*

| *Category of expenditure* | *(1) Approved apportionment* | *(2) Expenditure* | *(3) Variance* |
|---|---|---|---|
| **1. Department of Peacekeeping Operations** | | | |
| Posts | 30 115 200 | 33 372 300 | (3 257 100) |
| General temporary assistance | 380 000 | 103 100 | 276 900 |
| Consultants | 600 000 | 392 500 | 207 500 |
| Overtime | 240 000 | 433 100 | ( 193 100) |
| Official travel | 175 000 | 172 600 | 2 400 |
| Training | 389 000 | 544 500 | ( 155 500) |
| Common services | 1 091 100 | 729 600 | 361 500 |
| Contractual services | 1 400 000 | 1 161 300 | 238 700 |
| Electronic data-processing equipment | 2 862 200 | 1 495 200 | 1 367 000 |
| Office furniture and equipment | 425 900 | 45 800 | 380 100 |
| Staff assessment | 5 877 000 | 6 287 400 | ( 410 400) |
| **Total, line 1** | **43 555 400** | **44 737 400** | **(1 182 000)** |
| **2. Executive Office of the Secretary-General** | | | |
| Posts | 341 400 | 355 200 | ( 13 800) |
| Overtime | 5 000 | 9 100 | ( 4 100) |
| Staff assessment | 68 800 | 76 400 | ( 7 600) |
| **Total, line 2** | **415 200** | **440 700** | **( 25 500)** |
| **3. Office of Internal Oversight Services** | | | |
| Posts | 1 339 100 | 1 244 300 | 94 800 |
| Official travel | 40 000 | 39 600 | 400 |
| Common services | 8 000 | 1 700 | 6 300 |
| Electronic data-processing equipment | 10 000 | - | 10 000 |
| Staff assessment | 231 900 | 253 700 | ( 21 800) |
| **Total, line 3** | **1 629 000** | **1 539 300** | **89 700** |
| **4. Office of Legal Affairs** | | | |
| Posts | 607 600 | 364 200 | 243 400 |
| General temporary assistance | - | 3 800 | ( 3 800) |
| Common services | 7 500 | - | 7 500 |
| Staff assessment | 104 700 | 98 300 | 6 400 |
| **Total, line 4** | **719 800** | **466 300** | **253 500** |
| **5. Department of Management** | | | |
| (a) Office of the Under-Secretary-General | | | |
| Posts | 467 200 | 527 200 | ( 60 000) |
| General temporary assistance | 56 000 | 64 400 | ( 8 400) |
| Overtime | - | 4 100 | ( 4 100) |
| Common services | 3 137 700 | 3 381 000 | ( 243 300) |
| Electronic data-processing equipment | - | 257 400 | ( 257 400) |
| Staff assessment | 92 600 | 136 700 | ( 44 100) |
| **Subtotal, (a)** | **3 753 500** | **4 370 800** | **( 617 300)** |

| *Category of expenditure* | *(1) Approved apportionment* | *(2) Expenditure* | *(3) Variance* |
|---|---|---|---|
| (b) Office of Programme Planning, Budget and Accounts | | | |
| Posts | 4 040 500 | 4 211 300 | ( 170 800) |
| General temporary assistance | 210 000 | 705 900 | ( 495 900) |
| Overtime | 17 000 | 9 600 | 7 400 |
| Official travel | 20 000 | 14 000 | 6 000 |
| Staff assessment | 788 800 | 1 011 700 | ( 222 900) |
| **Subtotal, (b)** | **5 076 300** | **5 952 500** | **( 876 200)** |
| (c) Office of Human Resources Management | | | |
| Posts | 871 200 | 890 200 | ( 19 000) |
| General temporary assistance | 143 000 | 105 900 | 37 100 |
| Overtime | - | 1 100 | ( 1 100) |
| Staff assessment | 179 600 | 224 000 | ( 44 400) |
| **Subtotal, (c)** | **1 193 800** | **1 221 200** | **( 27 400)** |
| (d) Office of Central Support Services | | | |
| Posts | 2 557 200 | 2 307 000 | 250 200 |
| General temporary assistance | - | 3 600 | ( 3 600) |
| Overtime | 10 000 | 16 000 | ( 6 000) |
| Staff assessment | 499 200 | 501 400 | ( 2 200) |
| **Subtotal, (d)** | **3 066 400** | **2 828 000** | **238 400** |
| **Total, line 5** | **13 090 000** | **14 372 500** | **(1 282 500)** |
| **6. Office of the United Nations Security Coordinator** | | | |
| Posts | 384 000 | 378 400 | 5 600 |
| General temporary assistance | - | 1 600 | ( 1 600) |
| Consultants | - | 16 800 | ( 16 800) |
| Common services | 21 600 | - | 21 600 |
| Electronic data-processing equipment | 7 100 | 10 500 | ( 3 400) |
| Staff assessment | 68 000 | 62 800 | 5 200 |
| **Total, line 6** | **480 700** | **470 100** | **10 600** |
| **Total, lines 1-6** | **59 890 100** | **62 026 300** | **(2 136 200)** |

| | *Amount* |
|---|---|
| **7. Other income/adjustments** | |
| Interest income | 1 699 000 |
| Other/miscellaneous income | 24 000 |
| Voluntary contributions in cash | - |
| Prior period adjustments | - |
| Savings on or cancellation of prior period obligations | 541 000 |
| **Total, line 7** | **2 264 000** |

# Annex II

## Financial performance for the period from 1 July 2000 to 30 June 2001: supplementary information on significant variances

### A. Post requirements

*Apportionment: $40,723,400; expenditure: $43,650,100; variance: ($2,926,700)*

1. A vacancy turnover factor of 8 per cent for staff in the Professional category in the Department of Peacekeeping Operations and 6.5 per cent for all other Professional category staff, and 2.5 per cent for posts in the General Service and related categories had been applied to 469 continuing posts approved for the 12-month period from 1 July 2000 to 30 June 2001. In addition, a delayed recruitment factor of 50 per cent had been applied to 93 new posts approved for the six-month period from 1 January to 30 June 2001.

2. The actual average vacancy rate was 12.3 per cent and 2.5 per cent for the continuing posts in the Professional and the General Service categories, respectively; and 54.2 per cent and 9.5 per cent for the new posts in the Professional and General Service categories, respectively.

3. Unspent balances generated by higher-than-actual average vacancy rates than those used in the budget were more than offset by underbudgeted requirements under common staff costs for General Service staff, particularly in the Department of Peacekeeping Operations and the Department of Management (Office of the Under-Secretary-General, Office of Programme Planning, Budget and Accounts and the Office of Human Resources Management). This resulted in an additional requirement of $2,926,700 for post-related costs.

4. The authorized staffing and related vacancies for the period is shown in annex III.

### B. Non-post requirements

*Apportionment: $11,256,100; expenditure: $9,723,800; variance: $1,532,300*

5. Unspent balances of $1,532,300 under non-post requirements are primarily attributable to:

(a) Managerial decisions aimed at increasing efficiencies in the utilization of resources;

(b) Reductions in the expected level of outputs;

(c) Other factors.

This was partially offset by additional resources to meet increases in the expected level of outputs.

## 1. Department of Peacekeeping Operations

### (a) Managerial decisions aimed at increasing efficiencies in the utilization of approved resources

6. *General temporary assistance and overtime.* Provision was made under general temporary assistance to cover staff on maternity leave or extended sick leave, as well as to meet peak workload demands, particularly to ensure the expeditious processing by the Personnel Management and Support Service of newly recruited staff for the United Nations Interim Administration Mission in Kosovo, the United Nations Transitional Administration in East Timor and the United Nations Mission in Sierra Leone. The tight deadlines involved did not allow for the recruitment and induction training required by new staff. With this in mind, a decision was taken to meet peak workload demands through overtime. For that reason, unspent balances totalling $276,900 resulted under general temporary assistance and additional resources of $193,100 resulted under overtime. The net saving amounted to $83,800.

7. *Electronic data-processing equipment.* Out of an unspent balance of $1,367,000 under this heading, an amount of $388,500 resulted from lower-than-projected unit costs under global systems and other contracts for electronic data-processing equipment (see also para. 11).

8. *Office furniture and equipment.* Unutilized resources of $380,100 arose under this heading as requirements for office furniture and equipment were met from United Nations surplus stock.

### (b) Reductions in the expected level of outputs

9. *Consultants.* An amount of $600,000 was provided in January 2001 for management consultants to evaluate the way in which the Organization plans, deploys, conducts and supports peacekeeping operations ($300,000), and to supplement in-house knowledge in the development of policy documents within the Peacekeeping Best Practices Unit, formerly known as the Lessons Learned Unit ($300,000). The findings of the evaluation were submitted to the General Assembly by the Secretary-General in his report of 1 June 2001 (A/55/977).

10. With regard to the policy development tasks, however, the work plan of the Unit had to be downscaled, taking into account the level of staff approved in January 2001. Unutilized balances under this heading were, therefore, rolled over to the 2001/02 budget.

### (c) Other factors

11. *Electronic data-processing equipment.* The budget for electronic data-processing equipment was based on the assumption that additional staff would be relocated to two new office premises, thereby requiring the installation of servers and related equipment. Delays in the relocation of staff to the second office premises reduced the need for wiring, connectivity and other information technology equipment during the period. In addition, some related electronic data-processing equipment charges were recorded under the Department of Management. The above factors resulted in an unutilized amount of $978,500. The relocation of staff to the second premises was completed by the end of 2001.

**(d) Increases in the expected level of outputs**

12. *Training*. An amount of $389,000 was budgeted for the Training and Evaluation Service. Additional requirements of $155,500 under this heading were a result of a significantly higher demand for training manuals and handbooks than planned. A description of the activities of the Training and Evaluation Service from 1 July 2000 to 30 June 2001 is shown in annex IV.

**2. Department of Management**

**Office of the Under-Secretary-General**

**(a) Other factors**

13. *Common services and electronic data-processing equipment*. Additional requirements under these headings resulted from the fact that costs associated with the relocation of the staff of the Department of Peacekeeping Operations were recorded under the Department of Management.

**Office of Programme Planning, Budget and Accounts**

**(a) Increases in the expected level of outputs**

14. *General temporary assistance*. Additional resources of $495,900 were required to cope with the demand for additional outputs, following the establishment of new missions is Kosovo, East Timor and the Democratic Republic of the Congo, primarily in the Peacekeeping Accounts Section.

## C. Staff assessment

*Apportionment: $7,910,600; expenditure: $8,652,400; variance: ($741,800)*

15. The budget for staff assessment was based on New York salary scales for 2000. Effective March 2001, a revised salary scale for staff in the Professional and higher categories was approved. The scale reflected the consolidation of 5.1 multiplier points into the net salaries in effect under the previous scale. In addition, effective May 2001, the net salary of staff in the General Service category was adjusted upwards by 2.57 per cent.

16. In addition, resources for general temporary assistance and overtime were budgeted on a net basis. Adequate provision for staff assessment-related costs has been made under this heading in the support account's 2002/03 budget.

17. For the above-mentioned reasons, additional requirements of $741,800 resulted under this heading.

# Annex III

## Authorized staffing and related vacancies for the period from 1 July 2000 to 30 June 2001

| | | 1 July 2000 to 30 June 2001 | | | 1 January to 30 June 2001 (additional) | | |
|---|---|---|---|---|---|---|---|
| | | | Average vacancy | | | Average vacancy | |
| | | Authorized staffing | Budgeted | Actual | Authorized staffing | Budgeted | Actual |
| | | | Percentage | | | Percentage | |
| I. | **Department of Peacekeeping Operations** | | | | | | |
| | Professional category and above | 196 | 8.0 | 10.4 | 72 | 50 | 54.2 |
| | General Service and related categories | 153 | 2.5 | 2.6 | 21 | 50 | 9.5 |
| II. | **Executive Office of the Secretary-General** | | | | | | |
| | Professional category and above | 2 | 6.5 | 0 | | Not applicable | |
| | General Service and related categories | 1 | 2.5 | 0 | | Not applicable | |
| III. | **Office of Internal Oversight Services** | | | | | | |
| | Professional category and above | 11 | 6.5 | 7.6 | | Not applicable | |
| | General Service and related categories | 1 | 2.5 | 0 | | Not applicable | |
| IV. | **Office of Legal Affairs** | | | | | | |
| | Professional category and above | 5 | 6.5 | 25.0 | | Not applicable | |
| | General Service and related categories | - | - | - | | Not applicable | |
| V. | **Department of Management** | | | | | | |
| | *Office of the Under-Secretary-General* | | | | | | |
| | Professional category and above | 3 | 6.5 | 0 | | Not applicable | |
| | General Service and related categories | 3 | 2.5 | 0 | | Not applicable | |
| | *Office of Programme Planning, Budget and Accounts* | | | | | | |
| | Professional category and above | 27 | 6.5 | 13.6 | | Not applicable | |
| | General Service and related categories | 21 | 2.5 | 2.0 | | Not applicable | |
| | *Office of Human Resources and Management* | | | | | | |
| | Professional category and above | 5 | 6.5 | 5.0 | | Not applicable | |
| | General Service and related categories | 6 | 2.5 | 1.4 | | Not applicable | |
| | *Office of Central Support Services* | | | | | | |
| | Professional category and above | 17 | 6.5 | 27.5 | | Not applicable | |
| | General Service and related categories | 15 | 2.5 | 15.9 | | Not applicable | |
| VI. | **Office of the United Nations Security Coordinator** | | | | | | |
| | Professional category and above | 3 | 6.5 | 25.0 | | Not applicable | |
| | General Service and related categories | - | - | - | | Not applicable | |

# Annex IV

## Training and Evaluation Service activities from 1 July 2000 to 30 June 2001

### A. Training assistance requested and provided

| *Host* | *Period* |
|---|---|
| Indonesia | July/August 2000 |
| South Africa | July/August 2000 |
| Botswana | July 2000 |
| Canada | August 2000 |
| Honduras | August 2000 |
| Bangladesh | September 2000 |
| Bosnia and Herzegovina | September 2000 |
| India | September 2000 |
| United States of America | September 2000 |
| Zimbabwe | September 2000 |
| Norway | October 2000 |
| Zimbabwe | October 2000 |
| North Atlantic Treaty Organization (Virginia, United States of America) | January 2001 |
| United States of America | January 2001 |
| North Atlantic Treaty Organization (Brussels) | February 2001 |
| South Africa | February 2001 |
| Malaysia | April 2001 |
| France and United Republic of Tanzania | May 2001 |
| Ecuador | June 2001 |

## B. Training and Evaluation Service, regular activities

| *Activity* | *Host* | *Period* |
|---|---|---|
| Ninth United Nations Training Assistance Teams Conference course and first services for the integration of disarmament, demobilization and reintegration of ex-combatants | Zimbabwe | July 2000 |
| Military observers orientation programme | United Nations Mission in Ethiopia and Eritrea | September 2000 |
| Standardization of military and civilian police pre-deployment and in-mission training | United Nations Transitional Administration in East Timor | September 2000 |
| Tenth United Nations Training Assistance Teams/disarmament, demobilization and reintegration course | Ghana | October/November 2000 |
| Ninth Train the Trainers seminar | Italy | November 2000 |
| Eleventh United Nations Training Assistance Teams/disarmament, demobilization and reintegration course | Nepal | April/May 2001 |
| Gender and peacekeeping in-mission training for military observers and civilian police | United Nations Mission in Ethiopia and Eritrea | May 2001 |

## C. Requests for peacekeeping training from Member States that the Training and Evaluation Service was unable to carry out

| *Activity* | *Host* | *Reason support was not provided* |
|---|---|---|
| Support to simulation exercise aimed at enhancing performance of peacekeepers through role playing in mission experience | Kazakhstan | No staff available. |
| Coordination and conduct of a multinational peace support operations seminar | Togo | No staff or funding available. |
| Assistance to the United Nations logistics course | Malaysia | No staff or funding available. |